

Additions underscored
Deletions [bracketed]

NYSE Arca Equities

FEES AND CHARGES

Effective Date: [July 12] August 1, 2019

NYSE ARCA MARKETPLACE: TRADE RELATED FEES AND CREDITS¹

EXCHANGE TRANSACTIONS

ETP HOLDERS AND MARKET MAKERS²

Round Lots and Odd Lots (Per Share Price \$1.00 or Above)

<p>Cross-Asset Tier 2: For ETP Holders and Market Makers that provide liquidity an average daily volume share per month of 0.30% or more of the US CADV³ and are affiliated with an OTP Holder or OTP Firm that provides an ADV⁴ of electronic posted executions for the account of a market maker in all issues on NYSE Arca Options (excluding mini options) of at least 0.55% of total Customer equity and ETF option ADV as reported by OCC:</p>	<p>Tape A Securities: \$0.0031 per share (credit) for orders that provide liquidity to the Book.</p> <p>Tape B Securities: \$0.0030 per share (credit) for orders that provide liquidity to the Book. \$0.0029 per share (fee) for orders that take liquidity from the Book.</p> <p>Tape C Securities: \$0.0032 per share (credit) for orders that provide liquidity to the Book. \$0.0030 per share (fee) for orders that take liquidity from the Book.</p> <p>For all other fees and credits, Tiered or Basic Rates apply based on a firm's qualifying levels.</p>
<p>Cross-Asset Tier 3: For ETP Holders and Market Makers that (a)</p>	<p>Tape A, Tape B, and Tape C Securities: \$0.0030 per share (credit) for orders that provide</p>

<p>provide liquidity of 0.30% or more of the US CADV³ per month, and (b) are affiliated with an OTP Holder or OTP Firm that provides an ADV⁴ of electronic posted Customer and Professional Customer executions in all issues on NYSE Arca Options (excluding mini options) of at least 0.80% of total Customer equity and ETF option ADV as reported by OCC, of which at least 0.20% of total Customer equity and ETF option ADV as reported by OCC is from Customer and Professional Customer executions in non-Penny Pilot issues on NYSE Arca Options:</p>	<p>liquidity to the Book</p> <p>ETP Holders and Market Makers that meet the requirements of Cross Asset Tier 3 and execute providing volume in Tape C Securities during the billing month equal to at least 0.35% of Tape C CADV for the billing month will receive an incremental credit of \$0.0004 per share for orders that provide liquidity to the Book in Tape C Securities. ETP Holders and Market Makers that qualify for this incremental Tape C credit shall not qualify for any fees and credits under Tape C Tier 1, Tape C Tier 2, and Tape C Tier 3.</p> <p><u>ETP Holders and Market Makers that meet the requirements of Cross-Asset Tier 3 and provide liquidity in Tape A, Tape B and Tape C Securities during the billing month equal to at least 0.65% of US CADV will receive an incremental credit of \$0.0002 per share for orders that provide liquidity to the Book in Tape A and Tape B Securities.</u></p> <p>For all other fees and credits, Tiered or Basic Rates apply based on a firm's qualifying levels.</p>
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